

DIVISION OF DEVELOPMENTAL DISABILITIES (DDD)
**COMMUNITY RESIDENTIAL SERVICES AND SUPPORT
CERTIFICATION REVIEW AND EVALUATION REPORT**

SECTION E. FINANCIAL

AGENCY		WEEK OF	
STANDARD		PROGRAM COMPLIANCE	
		1	2
1. Payroll records are adequate for audit. (N/A for state operated programs.) DDD POLICY 6.04 SOURCE: AFRC			
2. The service provider has complied with applicable DDD Policy 6.04 requirements related to Instruction and Support Staff (ISS) hours worked and ISS costs, and reported them accurately in their settlement report submitted to the division. (N/A for state operated programs.) DDD POLICY 6.04 SOURCE: AFRC			
3. When a client performs work for the service provider, the service provider pays the client at least the current minimum wage. The client is paid in accordance with federal and state law requirements. WAC 388-820-680(3) SOURCE: AFRC			
4. When a client's guardian or legal representative controls the client's income, estate, or trust fund, they reimburse the service provider as described in WAC 388-820-120. (N/A for supported living programs.) WAC 388-820-120(4)(c) SOURCE: AFC, CFRC			
5. The service provider assures that clients who receive supported living services are responsible for paying for their daily living expenses, such as rent, utilities, and food, using their personal financial resources. (N/A for group home programs.) WAC 388-820-080(2) SOURCE: AFRC, CFRC			
EVALUATOR COMMENTS			
CORRECTIVE ACTION PLAN/TIMELINES:			
INITIALS			
Administrator: _____ Evaluator: _____ Resource Manager: _____			

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6. The service provider submits department-approved billing documents for costs incurred to establish new programs and to establish a residence for a new client. WAC 388-820-130 SOURCE: DDDIG			
7. The service provider follows the steps outlined in DDD Policy 6.04 for Cost-of-Care Adjustments for supported living services programs or reimbursement of vacancies for group home programs. DDD POLICY 6.04(IX)(b) and (d) SOURCE: DDDIG			
8. Clients receiving group home services and support pay for their cost of care from their earnings or other financial resources. Clients receiving SSI are responsible only for the cost of room and board. (N/A for supported living programs.) WAC 388-820-120(4)(a) SOURCE: AFRC, CFRC			
9. The service provider complies with standards outlined in DDD Policy 6.16 regarding damage reimbursement. DDD POLICY 6.16			
10. When client funds are used for health services, the service provider documents all denials from DSHS' medical assistance administration and/or private insurance companies or other carriers of primary medical insurance. The document is given to the client's DDD case resource manager and kept in the client's files. WAC 388-820-710 SOURCE: CFRC			
EVALUATOR COMMENTS			
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11. A service provider has obtained written consent from the client or the client's guardian or legal representative to manage the client's funds or is the designated payee by the source of the client's unearned income. WAC 388-820-590(1) SOURCE: CFRC			
12. When the service provider does not manage the client's funds and holds a client's bankbook and/or bankcard at the client's request, it is documented in the client's IISP. WAC 388-820-600 SOURCE: CFRC, PPIG			
13. The service provider does not combine client funds with any agency funds, such as agency operating funds. WAC 388-820-610 SOURCE: AFRC, CFRC			
14. A financial management plan is present when the service provider manages the client's funds.			
a. The Individual Financial Plan (IFP) is developed with the client;			
b. Is reviewed at least every 12 months by the service provider and client; and			
c. A copy of the IFP is sent to the guardian and/or legal representative and the client's DDD care resource manager upon request. WAC 388-820-620 SOURCE: CFRC, FGAIG			
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15. The client IFP contains:			
a. The part of the client's funds and income that will be managed by the service provider;			
b. The part of client funds and income that will be managed by the client or legal representative;			
c. The type of accounts used;			
d. A budget process;			
e. Assets management, such as personal property, burial plan, retirement funds, stock, and vehicles;			
f. Cash management;			
g. Money management instruction and/or support;			
h. An explanation of which purchases require receipts;			
i. Contingency plan for expenditures if a client's resources exceed the CAP limit; and			
j. A signature of the client and the client's guardian, if any. WAC 388-820-630			
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16. When managing client funds, the service provider:			
a. Separately tracks each client's money even when several clients reside together;			
b. Keeps the client's account current by maintaining a running balance;			
c. Makes deposits to the client's account within one week of receiving the client's money;			
d. Prevents the client's account from being overdrawn;			
e. Ensures individual cash funds do not exceed \$75 per person unless specified differently in the clients IFP; and			
f. Retains receipts for purchases over \$25.			
WAC 388-820-640(1)		SOURCE: CFRC	
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17. When a service provider receives a check made out to the client, the service provider gets the client's signature and designation "for deposit only," and deposits the check in the client's account; or gets the client's "x" mark in the presence of another witness, co-signs the check with the designation "for deposit only" and deposits the check in the client's account. WAC 388-820-640(2) SOURCE: CFRC			
18. When managing client funds, the service provider:			
a. Has the payee sign the check, if the check is made out to a payee rather than the client;			
b. Ensures that the client does not sign a blank check;			
c. Has the client sign checks at the time of purchase unless specified differently in their IFP; and			
d. Documents the names of any staff assisting a client with financial transactions. WAC 388-820-640(3-6) SOURCE: CFRC			
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19.The service provider protects clients' financial interests by having a second party who does not make or assist in the transaction, verify and initial monthly reconciliation of bank and cash accounts. WAC 388-820-650(1) AND 400(8) SOURCE: CFRC			
20.The following records are available for client financial transactions:			
a. Monthly bank statements and reconciliation;			
b. Checkbook registers and bankbooks;			
c. Deposit receipts;			
d. Receipts for purchases over \$25, or as specified in the financial plan;			
e. Any itemized subsidiary ledgers showing deposits, withdrawals, and interest payments to individual clients;			
f. Records of the client's financial transactions; and			
g. Tax records (if applicable). WAC 388-820-400(8) AND 650(2) SOURCE: CFRC			
21.When the service provider manages client cash transactions, the following are present:			
a. A detailed ledger signed by the person who withdrew any of the client's money;			
b. Monthly reconciliation to the cash amount;			
c. Detailed accounting of the money received on behalf of the clients, such as cash received from writing checks over the purchase amount, and a list of where the money was spent; and			
d. Receipts for purchases over \$25 where service provider staff withdrew the money. WAC 388-820-650(3) SOURCE: CFRC			
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22. The service provider notifies DDD when a community alternative program (CAP) client has an account that reaches \$300 less than the maximum amount allowed by federal or state law. WAC 388-820-650(4) SOURCE: CFRC, AIG			
23. When a client transfers from one service provider to another, the previous service provider transfers client funds within 30 days. To transfer funds, the previous service provider:			
a. Gives the client, the client's guardian, and/or the legal representative a written accounting of all known client funds;			
b. When applicable, gives the new service provider a written accounting of all transferred client funds;			
c. Obtains a written receipt from the client, client's guardian and/or legal representative for all transferred funds; and			
d. When applicable, obtains the new service provider's written receipt for the transferred funds. WAC 388-820-660(1) SOURCE: AIG			
24. When a client becomes incapacitated or a client's whereabouts are unknown, the client's service provider transfers the client's funds within 180 days to the client's legal guardian, to DSHS, or to the requesting governmental entity. WAC 388-820-660(2) SOURCE: AIG			
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25. When a client dies, the service provider transfers the client's funds within 90 days to the client's guardian, the legal representative, the requesting governmental entity, or DSHS if the client does not have a legal heir. WAC 388-820-660(3) SOURCE: AIG			
26. When loaning money to a client, the service provider:			
a. Uses the service provider's funds and collects the debt from the client by installments;			
b. Retains a signed agreement with the client;			
c. Keeps documentation for the amount loaned, payments, and the balance owed. WAC 388-820-670(1), (3), AND (4) SOURCE: CFRC, AIG			
27. The client's service provider does not charge a client interest for money loaned and does not borrow funds from the client. WAC 388-820-670(2) SOURCE: CFRC, AIG			
28. The service provider pays a client when the service provider or staff has stolen, misplaced, or mismanaged client funds, for example, overdraft charges and fees. WAC 388-820-680(1)			
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APPLICABLE ONLY UNTIL JANUARY 1, 2002			
29. The service provider maintains the following documentation of client imprest funds:			
a. A subsidiary ledger;			
b. A monthly reconciliation to the cash amount;			
c. A detailed accounting of money received on behalf of the client and disposition of money spent;			
d. Receipts for purchases over the amount of \$20; and			
e. Itemized ledgers showing a client's deposits and withdrawals, and interest payments paid to clients. WAC 388-820-115(3)			
30. The service provider does not release client funds to a person other than the client or the client's legal guardian or legal representative without the written consent of the client or the Secretary. WAC 388-820-115(4)			
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